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LIBRARY MANPOWER

A Preliminary Study of Essential Factors Contributing to Library Staffing Patterns

State University of New York - New York State Division of the Budget
Albany, New York
December, 1968

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U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
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LIBRARY MANPOWER

A Preliminary Study of Essential Factors Contributing to Library Staffing Patterns

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A Joint Study

New York State Division of the Budget - State University of New York

Albany, New York December, 1968

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*State University of New York

ABSTRACT This study was conducted to develop quantitative and qualitative productivity standards, work measures, and activity reports to facilitate effective budgeting for library staff in the State University of New York (SUNY) library system. The research methodology used by the study team involved a survey of 11 libraries of the 22 institutions in the study universe. The major steps were: (1) a preliminary survey and preparation of prescriptive models of library function and responsibilities, (2) a collection of facts about manpower utilization, productivity, and institutional milieu through personal visits to 12 campuses and analysis of detailed questionnaires, (3) analysis of data using a series of four workshops composed of librarians in technical services, cataloging, reader services and administration, (4) development of "standard times" to perform library functions and "application factors" to relate functions directly to books and users, and (5) identification of situations when deviations from the standards may be appropriate. Major recommendations are made for budgeting for library staff based on Weighted Standard Times, follow-up procedures to continually refine and update the standards, and monthly library activity reports. Concurrent observations are also made. Appendixes include lists of basic library functions, weighted standard times, format for activity reports, and a 36 item bibliography. (Author/JB)

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BACKGROUND

The State of New York, in discharging its educational commitments through the State University system, has established an objective of quality education as a basis for its operations. This obligation is growing increasingly complex as units are expanded or added to the total network.

The Problem Statement

Libraries constitute a fundamental ingredient in the mix necessary to produce an excellent educational system. They provide the access to the world's intellectual and creative resources required by the educational program offerings available at each institution. The task of developing staffing patterns for the State University of New York library system to meet this challenge resolves itself into the need to provide enough professionally competent library staff at each institution to perform the services necessary to operate the library effectively: to acquire the holdings, develop needed emphases in collections, provide assistance to students and faculty and otherwise facilitate the uses of the library within the institution and community.

While there are examples of well-run libraries within the SUNY system, there is a general ambiguity in existing bases for budgeting for library staff during this period of tremendous growth of library resources. The basis for requesting additional

staff and for rationalizing adequate staffing patterns among campuses in each classification of institution (the Liberal Arts Colleges, University Centers, Agricultural and Technical Colleges) varies significantly. No unifying measures have been developed to compare campus needs for library staff.

To meet this management need, in July 1968, the Division of the Budget and SUNY Central Administration approved a study to develop productivity standards, work measures and activity reports to facilitate effective budgeting for library staff. It was agreed that the Study would incorporate qualitative as well as quantitative aspects of library productivity to assure that a good library can result from the application of the recommended staffing standards in both budget requests and budget evaluation and approval.

The Research Methodology

A survey of 11 libraries of the 22 institutions in the study universe1/ was made to collect facts and relevant background from which standards could be developed. Briefly the major steps taken were:

1. Preliminary survey and fact findings and preparation of prescriptive models of library function and responsibilities.

1/ The study universe consisted of the 6 Agricultural and Technical Colleges, the 12 four-year colleges, and the four University Centers. A sample of 3 Ag. & Tech. Colleges, 4 Liberal Arts Colleges and the 4 University Centers was selected for actual study. The libraries contacted included: Alfred, Cobleskill and Farmingdale; Buffalo, Cortland, Potsdam and Oneonta; and Albany, Binghamton, Buffalo and Stony Brook. While the other libraries in the SUNY system were not included in this study, the operating reports recommended below will provide a data base for similar standards for these libraries.

2. Collection of facts about manpower utilization, productivity, and institutional milieu by Class[2] through personal visits to 12 campuses and analysis of detailed questionnaires completed by each library visited.
3. Analysis of data using a series of 4 workshops composed of specialist Librarians in areas of Technical Services (excluding cataloging), Cataloging, Reader Services and Library Administration.[3]
4. Development of "standard times" to perform library functions and "application factors" to relate functions directly to books and users.
5. Identification of situations when deviations from the standards may be appropriate.
6. Preparation of this report of recommendations.

Every effort was made to make full use of expertise present among the librarians of the SUNY system. The Chancellor's Advisory Library Committee participated in preparation of the prescriptive models and listings of library functions. The head librarians and many of their key staff members were interviewed, prepared responses to our questions and manned the workshop sessions that developed the standards. The study team also included three professional librarians. The bibliography appended represents a selection of the most pertinent published materials available in this area of librarianship.[4] The study team made full use of these resources.

2/Appendix A describes the procedure used to verify the validity of the existing institutional classification.
3/A list of the workshop participants is found in Appendix B.
4/ See Appendix G.

RECOMMENDATIONS

As a result of the study, several major recommendations can be made relative to library staffing, including:

- Library Staffing Standards
- Followup
- Library Activity Reports

Several concurrent observations can also be made which are directly pertinent to effective budgeting for library staff:

- Professional — Nonprofessional Relationships
- Achieving "Excellence" in Library Reader Services
- Training of Library Staff
- Library Technicians
- Temporary Service Assistance
- Centralization of Some Technical Services Processes

Major Recommendation: Library Staffing Standards

Findings

Library activities have been found to be susceptible to quantification to a considerable extent. Basic library functions have been identified and interrelated using a prescriptive model of library operations. Once identified, these functions were related to staff effort to perform them, and measured by a series of work measurement units expressed in productivity (or output) terms. The result was a series of Standard Times for performing a given function.

These functions5/ were found to be directly related to five basic characteristics of libraries: holdings, acquisitions, FTE users, headcount students and faculty and staff.6/ Not all functions are performed on each item of the total holdings, for each volume added or for each user. Therefore, before a final relationship could be made it was necessary to develop a factor indicating the frequency with which a given function is performed on an average unit of each of these five characteristics.

Given the productivity standards for each library function and the factor indicating its frequency of application, a "Weighted Standard Time" could be produced indicating the average direct application of time needed for any unit of any of the five basic characteristics in order to operate a library effectively. A simple formula can be developed to facilitate use of these "Weighted Standard Times" in budget planning and evaluation.

Recommendation

We recommend that budgeting for library staff be based on the Weighted Standard Times shown below. The formula below facilitates computation of library staff needs for budget preparation and evaluation purposes.

5/ See Appendix C for a complete listing of library functions common to all libraries in the SUNY system.

6/ See Appendix F for a definition of these characteristics

1. Technical Services Man-Year Requirements (TS)$=\frac{Aa++\ Bb}{96{,}000\ \text{min.}}$

2. Readers Services Man-Year Requirements (RS)$=\left(\frac{Cc + Dd + Ee}{96{,}000}\right) + Y$

3. Administration Man-Year Requirements (Adm)= X (TS + RS)

4. Total Library Man-Year Requirements = TS + RS + Adm

Where:

	Weighted Standard Time (in minutes)		
	Class I	Class II	Class III
A = Holdings and a =	3.627	2.768	2.437
B = Acquisitions and b =	120.348	138.831	142.258
C = FTE Users and c =	157.205	120.308	165.167
D = Headcount Students and d =	60.647	139.214	207.517
E = Faculty & Staff and e =	96.250	148.156	174.174
X = % of TS & RS staff Required for Administration	20.81%	14.22%	10.0%

Y for Class I = $\frac{.06\ \text{FTE x Number of Freshmen}}{600}$

Y for Class II = $\frac{.06\ \text{FTE x Number of Freshmen}}{600}$

Y for Class III = $\frac{.06\ \text{x No. of Freshmen}}{600}$

Number of minutes per man-year = 96,000 = 1600 hrs. per year x 60 min.

This formula will produce a figure that represents the total staff needs of a library for routine performance of library functions. The figure includes temporary service staff, student assistants and other staff members.

The figure does not include staff needs for such things as machine maintenance, security guards, general reproduction of materials or selection and use of audio visual materials. It

makes no provision for special staff needs necessitated by unique physical facilities (e.g., several manned service points on different floors or in different buildings) or programs of the library or its parent institution. These staff needs, when justified adequately, should be added to the figure produced by the formula to get grand total staff needs of each library.

Major Recommendation: Followup

Findings

The study has produced a workable system for budgeting for library staff in the SUNY system including productivity standards and formulas for their application. The data base upon which individual Unit Standard Times and Application Factors was produced, however, reflects two limiting factors in the study:

1. A wide range of individual operating procedures were found to exist among the libraries surveyed; and
2. The libraries submitting data did not keep records of activities in the same degree of detail as required by a study of this kind.

The result is that, while the standards presented here are adequate for the purposes intended, they will benefit from refinement of specific performance figures. Further, as changes are made in operating routine among the several libraries in the SUNY system (including efforts at centralization of common functions and computerization of some functions), the times required to perform a given function adequately will change.

As these changes are made, revision and refinements of standards given here must be made.

Recommendation

We recommend that follow-up procedures be initiated to continually refine and update the standards for library staffing presented herein.

Specifically, the follow-up should consist of two phases: the immediate refinement of present Unit Standard Time and Application Factors and the continual updating and refinement of standards to reflect advances in the overall efficiency of library operations.

a. Immediate follow-up: A series of library activity reports is recommended as part of this study. These reports should be distributed to librarians and be completed monthly as of the beginning of the Winter Semester (i.e., January 1, 1969). When data has been compiled for one semester, a re-analysis and a recomputation of both Unit Standard Times and Application Factors should be undertaken.

   Refinement resulting from this analysis should be incorporated into the standards as shown in parts of Appendix D and be used in preparation of institution library staffing budget requests next spring.

b. Similar analysis of existent library operating procedures should be made on a continuing basis to assure that accepted standards reflect the best practice in actual operations.

Recommendation

We further recommend that formal responsibility for the continued monitoring and updating of library staffing standards be placed with SUNY Central Administration. Additional staff will be needed for this responsibility. Preliminary analysis indicates that approximately 3-5 man days per month will be required to monitor the reporting system and refine and update standards as procedures change.

Duties of this officer would include:

a. Evaluation and follow-up on activity reports from each library.
b. Interpretation of report needs and modification of report formats.
c. Promulgation of efficient procedures found in one library to other similar libraries.
d. Coordination of proposed changes in standards with librarians and budget analysts in Central Administration and the Division of the Budget.

Major Recommendation: Activity Reports

Findings

The study pointed up markedly the fact that librarians are not effectively reporting their work done. While many libraries have activity reports of various kinds they typically are not disseminated outside of the library proper.

Variation in the scope and coverage of these reports was also noted. No library currently records its activities in as much detail as would be required to develop work measurement and productivity measures of performance (hence, the need for the team's special questionnaire). To correct this oversight, to assist in the better management of libraries, to contribute to more understanding of the complexity of librarianship in a large academic institution, and to provide a vehicle for continual updating of productivity standards, a system of library activity reports is recommended.

Recommendation

We recommend that a system of monthly reports of pertinent library activity be initiated and disseminated to College Presidents, and SUNY Central Administration (budget office and Associate for Libraries).

Appendix E includes sample formats. Data for this report would be collected, probably daily, by librarians; collated monthly for the Head Librarian and the campus President; and quarterly by the Head Librarian for Central Administration as a basis for budget review. (In the first months of use of this report, we recommend that Central Administration and Budget staff receive the reports monthly.)

CONCURRENT OBSERVATIONS

While our major concern in this study was with the development of a library staff budgeting system using productivity measures, several other aspects of library management became apparent to the team. They are presented here in the interest of (1) clarifying our major recommendations and placing them in proper context, and (2) in advancing librarianship generally within SUNY.

Professional - Nonprofessional Relationships

Overall, our study pointed out that professional librarians are being utilized in a ratio of one professional to about two nonprofessionals (1: 1.805 exactly).

Present ratios vary from 1:1.1 in Agricultural and Technical Colleges to 1:1.806 in Liberal Arts Colleges and 1:1.891 in University Centers. Table I depicts this relationship by major function of libraries, as well as by class.

The tendency is clearly to a ratio of 1 professional to 2 nonprofessionals with the large libraries exceeding that ratio often and the smaller ones approaching it. Further study is needed to determine the proper professional - clerical mix.

TABLE I

Ratio of Professional Staff to Nonprofessional Staff

By Class and Major Function

Major Function	Class I	Class II	Class III	All Libraries
Technical Services	1: 1.432	1: 2.316	1: 3.066	1: 2.654
Acquisitions	1: 1.658	1: 2.051	1: 2.883	1: 2.655
Serials & Document Control	1: .832	1: 2.129	1: 2.505	1: 2.100
Other Technical Services	1: 2.603	1: 7.414	1: 6810[1/]	1: 5.935
Cataloging[2/]	1: 2.099	1: 1.409	1: 1.158	1: 1.239
Reader Services	1: .961	1: 3.310	1: 3.305[4/]	1: 2.887
Circulation	1: 3.575	1: 7.092	1:15.026	1: 9.538
Reference	1: .232	1: .150	1: .569	1: .428
Other Reader Services	1: .610	1: .756[3/]	1: 3.634	1: 2.594
Administration	1: .585	1: .237	1: 1.098	1: .777
All Activities	1: 1.142	1: 1.806	1: 1.891	1: 1.805

1/Data for pages reproduced in Buffalo was omitted because it was unrealistically high.

2/The percentage of professional time for this category increases with the size of the school because of the many professional hours spent on cataloging new monographs in the larger schools.

3/Data for "Other Reader Services" at Potsdam was omitted because it was unrealistically high.

4/This figure is low because reference questions, a primarily professional activity, represent a disproportionate percentage of Class III time (approx. 30% Class III, RS time, as opposed to 11% for Class II).

Achieving "Excellence" in Library Reader Service

The pressures present in all institutions to expand have heightened the acquisition programs of most libraries. Consequent concentration on technical processes has resulted in a general neglect of reader services, those activities that interpret and make usable the vast resources of the library to the student and faculty member. An excellent university must optimize its library resources in these ways as well as in acquisition.

3. Training of Library Staff

Of equally critical importance is the need to train present professional and clerical staff to meet new and increasingly complex requirements. Libraries need personnel other than professionals who have the training and ability to do the great variety of specialized operations which occur in libraries. At present, there is little or no effective non-professional library training offered in New York State.

In addition, librarians in administrative positions should have the opportunity (which adequate staffing would provide) to obtain some of the new and highly specialized training their positions demand. Training in administration, computer technology and applications, personnel management and training, budget and fiscal management is essential to effective performance.

There is considerable support in the experience of other organizations for establishment of working grant fellowships, perhaps on a two-year program basis, in which work and

study would be combined in an agreed-on sequence, with consequent commitment after study to a period of work in the State service. This program could be established to (1)draw new people into the State service; (2) to develop skills in wanted areas, e.g., to train new staff people to joint specialties, such as librarianship and architecture, or computer sciences, or management; and (3) offer career staff opportunity for specialized training. Such a program would have beneficial results to the individual and the organization.

Library Technician

The Federal Civil Service for librarians includes a "Library Technician Series" which recognizes by suitable promotion and career advancement those positions "involving non-professional or technical work in libraries which are administered in accordance with the practices and techniques of professional librarianship. Such work primarily requires a practical knowledge of library functions and services, and ability to apply standard library tools, methods, and procedures to the service needs of the particular library."

Recognition is given in the Federal series to positions which have requirements beyond those of a typical clerk or stenographer, but do not demand full professional training.Z/

Z/ These positions are described in the Federal GS-1411 series.

High turnover rate and consequent disservice to the system results when clerks are paid at a clerical level and expected to perform at much more demanding levels. Also, good people are discouraged from staying in the library field because no career line is open to them. It is equally unsatisfactory to have professionals working in clerical and routine areas when their expertise is so greatly needed, not only in the performance of work for which they were trained, but also in new and demanding work.

A series similar to the Federal Library Technician Series may be practical in the SUNY system. The need for semi-professional library skills is urgent; solutions may involve a full spectrum of local and specialized training programs.

Temporary Service Assistance

One of the built-in disadvantages of work in the libraries in SUNY is the library schedule, which demands coverage for two or three times the number of hours usually worked by those in office positions. Libraries are staffed during school vacations, summers and weekends, and the staffing must be adjusted to the posts to be manned, the nature of the workload, and the special requirements of the library. This situation demands flexibility in scheduling, and requires staffing at undesirable hours. It seems logical to provide freedom to library administrators to use part-time and temporary service manpower where obvious need directs. Temporary manpower is a flexible and

economic answer to this need and its use should be studied and tested.

Centralization of Some Technical Services Processes

Our analysis of the many technical services operations in SUNY libraries leads us to the conclusion that some central or regional ordering and processing of library materials is possible and could be accomplished without the disruption of library purposes. Central ordering and processing could relieve many libraries of some routines, reduce overhead and eliminate personnel problems associated with recruitment and supervision of processing personnel.

There is much duplication involved in the present decentralized processing activities at each library. If materials selection were left to each school, and ordering, receiving, most cataloging and file card preparation, etc., performed centrally, maximum efficiency and economies of large-scale operation could be achieved without sacrificing individuality.

Centralization of processing by region of the State and probably by using the University Centers as area processing facilities, may be the more desirable, at least during this period of the rapid expansion of library collections. One central facility might perhaps be accompanied by rigorous procedural systems, by massive seasonal blockades, and transportation delays which could hamper the speedy acquisition and processing demanded by the individual campuses.

APPENDICES

APPENDIX A

Classification of Libraries
State University of New York

Libraries studied were analyzed according to 10 descriptive characteristics: holdings, volumes added, students, total users, faculty, academic programs, ILL loans, ILL materials borrowed, bibliography preparation and circulation rates. When the characteristics for each library were arranged in rank order they clustered into three groupings that reinforced and verified the present grouping of libraries according to institutional class - i.e., Agricultural and Technical Colleges, Liberal Arts Colleges and University Centers. Two libraries, however, exhibit characteristics that vary somewhat from other libraries in their class. Farmingdale tends toward a higher classification than the other Agricultural & Technical libraries studied. The size of its student population, users, holdings and general age tend it away from the normal Agricultural & Technical college.

Buffalo University, because of its general size and age, is also a little out of the ordinary in the University Centers. Both schools, however, relate generally to the overall ranking scheme and are placed in the appropriate classification for purposes of this study. It may be necessary, however, to consider special characteristics of these schools more closely in actual budget preparation and justification and in subsequent analysis.

APPENDIX B

LIST OF PARTICIPANTS IN WORKSHOP ON SUNY LIBRARY STAFFING

I. Participants

Mrs. Ann Mitchell	Plattsburgh
Mr. Gregory Bullard	Binghamton
Miss Elinor Carter	Cobleskill
Dr. Mary Cassata	Buffalo (Univ.)
Mrs. Catherine Clark	Stony Brook
Mr. Gene Dewey	Buffalo (Univ.)
Mrs. Selma Foster	Potsdam
Mr. Selby Gration	Cortland
Mr. Donald Hofmeister	Geneseo
Mr. Frederic K. Hoffmann	Alfred
Mrs. Dorothy Kavasch	Farmingdale
Mr. Josiah T. Newcomb	Binghamton
Miss Shirley Posner	Buffalo (College)
Miss Gertrude Rounds	Oneonta
Mrs. Marion Wells	Brockport

II. Groups

Reference Group:

Dr. Mary Cassata, Chairman
Mrs. Ann Mitchell
Mr. Donald Hofmeister
Mrs. Marion Wells

Cataloging Group:

Mrs. Catherine Clark, Chairman
Miss Elinor Carter
Mrs. Selma Foster
Dr. Robert H. Deily

Acquisition Group:

Mr. Gregory Bullard, Chairman
Mr. Gene Dewey
Miss Shirley Posner
Mrs. Dorothy Kavasch

Administration Group:

Miss Gertrude Rounds, Chairman
Mr. Selby Gration
Mr. Frederic Hoffmann
Mr. Josiah T. Newcomb

III. Support Staff

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Mr. Josiah T. Newcomb - Consultant

Miss Mary Quint - Consultant
Mr. Gilbert Fairholm - Budget Staff
Mr. Michael Farley - Budget Staff

APPENDIX C

BASIC LIBRARY FUNCTIONS

SUNY College and University Libraries

The following listing of major functions of libraries in the State University of New York system is the result of the preparation of a series of abstract models of library procedures. Based on research, observation and interviews with libraries in the systems a series of linear models, or flow diagrams, or routine library operations was prepared showing functions, activities and tasks in order of performance for Technical Services, Reader Services and Administrative Services. These models represent prescriptive models of good library operation and formed the basis for further study of individual libraries, data collection and standards preparation. It must be emphasized that these functions represent the essence of the activity of libraries and not a common procedure or organization. Individual library procedures and organizational structure vary markedly and the effort here was to get at the central nature of librarianship not its outward technique.

I. TECHNICAL SERVICES

A. ACQUISITIONS

1. Setting of policy
2. Selection of materials

    a. monographs and sets
    b. serials (including periodicals)
    c. documents
    d. audio-visual materials
    e. materials received by organizational agreements: (gifts, exchanges, GPO depository, etc.)
    f. other special materials, e.g., music

3. Review of selection
4. Search of holdings

5. Ordering and receipt

    a. search of bibliographic tools and publisher lists
    b. search of L.C. catalogs, proof sheets, proof slips
    c. preparation of orders
        (1) purchase orders
        (2) job orders
        (3) organizational agreements
        (4) L.C. and other catalog cards
    d. receipt of material and internal routing
        (1) new serial subscriptions

BASIC LIBRARY FUNCTIONS
(continued)

(a) establishing entry thru search of bibliographic tools
(b) making check-in cards
(c) entering receipt in files
(d) establishing routing and filing policy
(e) setting tentative cataloging policy
(f) routing or filing

(2) books and other cataloged materials
(a) inspection and matching with L.C. or other cards
(b) receipt and inspection of L.C. cards
(c) establishing order control files
(1) updating files
card catalog
shelf list file
pending file (outstanding orders)
(2) accounting
(3) reporting: faculty, business office
(4) claiming
(5) cancellations

6. Other special services (Individual libraries)

TECHNICAL SERVICES:

B. CATALOGING AND CLASSIFICATION

1. checking and maintaining internal authority files
2. preparation of catalog work slips
3. cataloging and classification of monographs

a. using L.C. cards
b. original cataloging

4. cataloging and classification of serials
5. cataloging and classification of documents
6. cataloging and classification of audio-visual and other special materials
7. typing of cards

a. add-ons
b. analytics
c. cross references

8. revision of cards
9. reproduction of cards
10. return for correction

BASIC LIBRARY FUNCTIONS
(continued)

TECHNICAL SERVICES

C. CATALOG MAINTENANCE

1. alphabetization and arrangement of cards for filing
2. filing of cards into catalog and shelf list and re-filing of cards (if necessary)
3. updating and correcting catalog cards

D. BOOK PROCESSING

1. assessioning of materials
2. stamping with property stamp
3. affixing of call number
4. t ping and affixing of pockets and book slips
5. attaching jackets
6. shelving materials

E. RECATALOGING AND RECLASSIFICATION

1. normal procedure

   a. reviewing of shelf list and relevant authority files
   b. pulling cards and books

2. project procedures (backlog or DC-LC reclass)

   a. reviewing shelf list and material authority files
   b. pulling cards and books

F. BINDING

1. selection of materials to be bound
2. collection of materials
3. preparation for binding
   a. receiving in processing for bindery
   b. collating as necessary
   c. sending for missing indexes, issues, etc.
   d. preparation individual work order
   e. searching, preparation, updating bindery control file
   f. packaging units and box for shipment
   g. preparation of bill of lading and purchase order
   h. shipping to bindery

BASIC LIBRARY FUNCTIONS
(continued)

4. receiving from bindery

   a. verifying receipt for accounting
   b. updating control files
   c. discharging to processing
   d. returning incorrect items to bindery

G. WITHDRAWAL OF MATERIALS FROM COLLECTION

1. setting policy
2. examination of materials or cards
3. pulling materials or cards
4. preparation of list
5. reviewing with faculty or specialists
6. disposal of materials:
   a. transferring to storage
   b. " " other libraries/agencies
   c. destroying/preparing reorder list

7. recording action
8. withdrawal or revision of card files

H. SERIALS (INCLUDING PERIODICALS) CONTROL

1. procurement
   a. purchase
   b. receipt by organizational agreement e.g., GPO

2. identification
   a. establishment of entry
   b. updating of authority file
   c. transmittal to cataloging as per policy
   d. checking-in of receipts

3. preparation of check-in cards
4. evaluation for retention
5. shelving
6. claims and followup on non receipt
7. noting of changes in title

I. DOCUMENTS CONTROL (INCLUDING TECHNICAL REPORTS)

1. procurement
   a. purchase
   b. organizational agreement, (e.g., GPO; other)

BASIC LIBRARY FUNCTIONS
(continued)

2. identification
   a. establishment of entry
   b. updating authority file
3. transmittal to cataloging as per policy
4. checking in of receipts
5. preparation of check-in cards
6. evaluation for retention
7. shelving
8. preparation of claims and followups on non-receipt
9. noting of changes in titles
10. maintenance of files

J. OTHER TECHNICAL SERVICE FUNCTIONS

1. machine maintenance
2. machine operation
3. warehousing and storage*
4. disposal: duplicates and other
5. inventory
6. maintenance of pamphlet and other special files
7. maintenance of file services CCH; loose-leaf services)

K. (Note below any other technical services, peculiar to your library, not specified above.)

II. READERS SERVICE

A. READER INQUIRY AND SEARCH

1. guidance to reader
2. advice to reader to aid him in: securing needed materials, e.g., securing in-process book, directing him to inter-library loan, referral to other resources, (other libraries or agencies)
3. establishing availability of materials, searching files to locate materials, preparation of I.L.L. requests, (See: II D. 7-8)
4. charging and return of materials
   a. charge-out of materials
   b. placing slips in circulation files
   c. renewal procedures
   d. re-filing of slips
5. return of materials
6. inspection of materials
7. re-shelving
   a. interim filing
   b. return to shelves

BASIC LIBRARY FUNCTIONS
(continued)

8. borrower registrations
9. preparation of overdue notices
   a. collection of fines
   b. accounting for funds

B. PREPARATION OF THE RESERVE COLLECTION

1. receipt of faculty reserve requests
2. search of files to locate materials
   a. recording of call numbers
   b. marking of catalog cards
3. assembling and reproduction of materials as required
4. preparation of slips for reproduced materials
5. shelving of materials in reserve area
6. preparation of lists or card files of reserves
7. charging-out of reserves as in circulation
8. requesting of copyright clearance (for reproduction)
9. removal from reserce collection

C. REFERENCE

1. quick questions
2. difficult questions
3. providing information requiring subject specialization
4. providing professional advice for advanced students and faculty
5. abstracts
6. bibliographies

D. OTHER READERS SERVICES FUNCTIONS

1. 1. security
   2. shelf reading
   3. general reading area housekeeping
   4. floor supervision
   5. review of collection (for quality)
   6. display preparation
   7. interlibrary loans loaned
   8. interlibrary loans borrowed

E. SPECIAL READER SERVICES ACTIVITIES

1. formal instruction: teaching
2. visitors
3. orientation-lectures, etc.
4. other special activities

BASIC LIBRARY FUNCTIONS
(continued)

III. ADMINISTRATION

1. interlibrary cooperation
2. supervision
3. communication
   a. in-house
   b. extra-mural
4. professional meetings
5. committee assignments
6. personnel administration: recruitment, training
7. budget administration
8. statistics
9. reporting
10. public relations
11. mail control
12. computer services and applications,(e.g., systems analysis, flow charting, etc.)
13. planning management

APPENDIX D

WEIGHTED STANDARD TIMES

The "Weighted Standard Time" is a function of "Unit Standard Time", or time necessary to perform satisfactorily a given library function and an "Application Factor" or the frequency that a given function is performed for each book moving through the system or the frequency that a function is performed for each potential user of the libraries facilities and services. These two factors (the time it takes to do a function and the number of times it is done, determined by various bases of measurement) constitute the basis of the formula recommended herein for determining staff.

These terms are defined in detail below:

Standard Time - The time required for competent staff to perform a given function adequately. This standard was developed from current experience by a series of workshops of professional librarian specialists.

Application Factor - Functions identified that describe normal library operations can be related directly to one of five basic characteristics of libraries: (1) holdings, (2) acquisitions , (3) FTE users, (4) headcount students, and (5) faculty and staff. Normal library functions have been grouped according to these basic characteristics of libraries and a factor has been developed for each function using one of these five characteristics of libraries as a base. These factors (shown

In the tables) were derived by dividing the appropriate characteristic by the total functional output of libraries (by class). Thus, the Application Factor for the function, "selection of monographs and sets" is based on volumes added and for Class I libraries is .759. (An application factor of .759 indicates that an average .75 monographs and sets are selected of every 100 volumes added. An application factor of 6.116 in reference to "guidance to reader" indicates that on the average every FTE user receives adivce 6.1 times per year.)

Weighted Standard Times -- Weighted Standard Times are derived by multiplying the Unit Standard Time for each function by the appropriate Application Factor. This product indicates the staff time necessary per each unit for each of the five basic characteristics of a library. The total of all Weighted Standard Times for each characteristic when multiplied by the forecasted totals for each characteristic for a given year will indicate the total staff time required for that library.

Total Weighted Standard Times for each of the five key characteristics of SUNY Libraries based on the study findings are shown in the accompanying tables.

Weighted Standard Times

Class I (Ag. & Tech.) Libraries

Function	Unit	Application Factor	Unit Standard Times (Min.)	Weighted Standard Times (Min.)
Technical Services Standards - Based on Acquisitions				
Selection of monographs & sets	Titles	.759	3.0	2.277
Selection of series	Titles	.074	5.6	.414
Search of holdings	Searches	1.494	3.0	4.482
Search of bib. tools	Titles	1.722	6.0	10.332
Search of L.C.catalogs,etc.	Titles	2.270	3.7	8.399
Preparation of purchase orders	Orders	.870	7.0	6.090
Receipt of new serial subscriptions	Titles	.043	123.0	5.289
Receipt of books & other cat. mat.	Volumes	1.071	2.9	3.105
Accounting for books	Vouchers	.410	4.3	1.763
Claiming for books	Claims	.055	10.0	.550
Cancellation of books	Separate Volumes	.022	11.1	.244
Processing of materials	Volumes	1.000	6.9	6.900
Procurement of serials	Volumes	.063	15.0	.945
Identification of serials	Titles	.106	50.0	5.300
Claims & followup on non-receipt of serials	Claims	.033	30.0	.990
Document procurement	Issues	.139	11.0	1.529
Establishment of Doc. entry	Rec'd.	.084	41.6	3.494
Machine operation	Pages reproduced	2.227	1.4	3.117
Warehousing & storage	Volumes handled	9.483	2.0	18.966
Maintenance of file services	Services	.005	432.3	2.161
Cat.& Class.of monographs-LC cards	Titles	.672	17.5	11.760
Cat.& Class.of monographs-orig.cat.	Titles	.092	23.7	2.180
Cat.& Classof serials	Titles	.169	23.7	4.005
Typing of cards	No.typed	5.000	3.0	15.000
Typing of add-ons	Add-ons	.060	2.4	.144
Typing of cross references	Cross references	.100	3.0	.300
Revision of cards	Titles	.100	2.4	.240
Total Weighted Time				120.348 mins

Function	Unit	Application Factor	Standard Times (Min.)	Weighted Times (Min.)
Technical Service Standards - Based on Total Holdings				
Inventory	Volumes	.906	1.2	1.087
Reproduction of cards	No.repro.	.165	2.4	.396
Filing of cards	Filed	.677	1.9	1.286
Updating & correcting cat.cards	Volumes	.064	1.2	.076
Recat.& Reclass-Normal	Titles	.017	14.9	.253
Binding	Volumes	.015	18.3	.274
Withdrawal of mat.from collec.	Volumes	.017	15.0	.255
Total Weighted Times				3.627 mins.
Reader Services Standards - Based on FTE Users				
Guidance to reader	Referrals	6.116	1.0	6.116
Advice to reader	Referrals	1.437	2.3	3.305
Receipt of faculty reserve requests	Titles	.300	20.0	6.000
Assembly & Reprod.of mat.	Items reprod.	.011	10.0	.110
Removal from reserve collection	Titles	.231	4.0	.924
Reference questions	Questions	6.790	20.0	135.800
Interlibrary borrowed	No.borrowed	.120	42.0	5.040
Total Weighted Time				157.295 mins.
Reader Services Standards - Based on Head Count				
Charge-outs of materials	Volumes	6.993	2.0	13.986
Return of materials	Volumes recd.	9.154	4.2	38.446
Preparation of overdue notices	Overdues	1.141	7.2	8.215
Total Weighted Time				60.647 mins.
Reader Services Standards - Based on Faculty & Staff				
Abstract prepared	Abstracts	.050	15.0	.750
Bibliographies prepared	Bibliographies	.200	450.0	90.000
Interlibrary loans	No. loaned	.250	22.0	5.500
Total Weighted Time				96.250 mins.

Reader Services Standards - Based on Teaching Students

.06 FTE librarians per 600 FTE freshmen

Administration Standards - Based on Percent of Technical Service & Reader Service Times	Standard Percent*
Interlibrary cooperation	1.85%
Professional meetings	.92
Committee assignments	.77
Personnel administration: recruitment, training	4.32
Budget administration	1.24
Reporting and statistics	1.85
Public relations	1.85
Mail Control	1.85
Computer services and applications	.30
Planning and Management	5.56
Other administration	.30
Total percent times to administration	20.81%

*Percent of total library staff

Weighted Standard Times

Class II (Liberal Arts Colleges) Libraries

Function	Unit	Application Factor	Standard Times (Min.)	Weighted Times (Min.)
Technical Services Standards - Based on Acquisitions				
Selection of monographs & sets	Titles	1.111	5.0	5.555
Selection of series	Titles	.079	6.0	.474
Search of holdings	Searches	1.051	3.7	3.892
Search of bib. tools	Titles	1.213	6.0	7.278
Search of L.C.catalogs,etc.	Titles	.806	15.0	12.090
Preparation of purchase orders	Orders	.779	8.3	6.465
Receipt of new serial subscriptions	Titles	.041	123.0	5.043
Receipt of books & other cat. mat.	Volumes	.790	3.6	2.844
Accounting for books	Vouchers	.541	4.3	2.326
Claiming for books	Claims	.050	21.4	1.070
Cancellation of books	Separate Volumes	.024	8.0	.192
Processing of materials	Volumes	1.000	8.1	8.100
Procurement of serials	Volumes	.106	22.3	2.363
Identification of serials	Titles	.040	60.0	2.400
Claims & followup on non-receipt of serials	Claims	.021	30.0	.630
Document procurement	Issues Rec'd.	.177	11.0	1.947
Establishment of Doc. entry		.070	40.0	2.800
Machine operation	Pages reproduced	.914	.9	.822
Warehousing & storage	Volumes handled	7.777	2.5	19.442
Maintenance of file services	Services	.006	1080.0	6.480
Cat.& Class.of monographs-LC cards	Titles	.700	17.5	12.250
Cat.& Class.of monographs-orig.cat.	Titles	.200	30.0	6.000
Cat.& Classof serials	Titles	.030	30.0	.900
Typing of cards	No.typed	6.500	4.0	26.000
Typing of add-ons	Add-ons	.060	2.4	.144
Typing of cross references	Cross references	.070	8.2	.574
Revision of cards	Titles	.100	7.5	.750
Total Weighted Time				138.831

Function	Unit	Application Factor	Standard Times (Min.)	Weighted Times (Min.)
Technical Service Standards - Based on Total Holdings				
Inventory	Volumes	.250	1.2	.300
Reproduction of cards	No.repro.	.735	.2	.147
Filing of cards	Filed	.910	1.5	1.365
Updating & correcting cat.cards	Volumes	.004	12.0	.048
Recat.& Reclass-Normal	Titles	.027	16.9	.456
Binding	Volumes	.019	18.3	.347
Withdrawal of mat.from collec.	Volumes	.007	15.0	.105
Total Weighted Times				2.768
Reader Services Standards - Based on FTE Users				
Guidance to reader	Referrals	4.768	1.0	4.768
Advice to reader	Referrals	1.140	11.2	12.768
Receipt of faculty reserve requests	Titles	.897	20.0	17.940
Assembly & Reprod.of mat.	Items reprod.	.154	10.0	1.540
Removal from reserve collection	Titles	.496	4.0	1.984
Reference questions	Questions	3.616	20.0	72.320
Interlibrary borrowed	No.borrowed	.214	42.0	8.988
Total Weighted Time				120.308
Reader Services Standards - Based on Head Count				
Charge-outs of materials	Volumes	13.249	2.0	26,498
Return of materials	Volumes re	24.902	4.2	104.588
Preparation of overdue notices	Overdues	1.129	7.2	8.128
Total Weighted Time				139.214
Reader Services Standards - Based Faculty & Staff				
Abstract prepared	Abstracts	.050	15.0	.750
Bibliographies prepared	Bibliographies	.280	450.0	126.000
Interlibrary loans	No. loaned	.973	22.0	21.406
Total Weighted Time				148.156

Reader Services Standards - Based on Teaching Students

.06FTE Librarians per 600 FTE Freshmen

Administration Standards - Based on Percent of Technical Service & Reader Service Times	Standard Percent*
Interlibrary cooperation	.92
Professional meetings	.45
Committee assignments	.41
Personnel administration: recruitment, training	2.38
Budget administration	1.28
Reporting and statistics	.93
Public relations	.82
Mail Control	1.65
Computer services and applications	.34
Planning and Management	4.95
Other administration	.09
Total percent times to administration	14.22%

*Percent of total library staff

Weighted Standard Times

Class III (University Centers) Libraries

Function	Unit	Application Factor	Standard Times (Min.)	Weighted Times (Min.)
Technical Services Standards - Based on Acquisitions				
Selection of monographs & sets	Titles	.245	10.0	2.450
Selection of series	Titles	.043	10.0	.430
Search of holdings	Searches	.914	4.4	4.021
Search of bib. tools	Titles	.373	7.7	2.872
Search of L.C.catalogs,etc.	Titles	.304	15.0	4.560
Preparation of purchase orders	Orders	.442	10.0	4.420
Receipt of new serial subscriptions	Titles	.046	123.0	5.658
Receipt of books & other cat. mat.	Volumes	.606	5.2	3.151
Accounting for books	Vouchers	.684	3.7	2.530
Claiming for books	Claims	.049	18.0	.882
Cancellation of books	Separate Volumes	.063	13.3	.837
Processing of materials	Volumes	1.000	3.6	3.600
Procurement of serials	Volumes	.075	22.3	1.672
Identification of serials	Titles	.077	60.0	4.620
Claims & followup on non-receipt of serials	Claims	.020	30.0	.600
Document procurement	Issues Rec'd.	.155	11.0	1.705
Establishment of Doc. entry		.064	36.8	2.355
Machine operation	Pages reproduced	5.308	1.6	8.492
Warehousing & storage	Volumes handled	5.660	2.1	11.886
Maintenance of file services	Services	.016	1095.0	17.500
Cat.& Class.of monographs-LC cards	Titles	.600	17.5	10.500
Cat.& Class.of monographs-orig.cat.	Titles	.360	35.0	12.600
Cat.& Classof serials	Titles	.040	35.0	1.400
Typing of cards	No.typed	8.000	4.0	32.000
Typing of add-ons	Add-ons	.100	4.8	.480
Typing of cross references	Cross references	.050	6.1	.610
Revision of cards	Titles	.100	7.5	.750
Total Weighted Time				142.258

Function	Unit	Application Factor	Standard Times (Min.)	Weighted Times (Min.)
Technical Service Standards - Based on Total Holdings				
Inventory	Volumes	.250	1.2	.300
Reproduction of cards	No.repro.	.345	1.0	.345
Filing of cards	Filed	.663	1.3	.861
Updating & correcting cat.cards	Volumes	.025	14.6	.365
Recat.& Reclass-Normal	Titles	.0006	15.5	.009
Binding	Volumes	.028	18.3	.512
Withdrawal of mat.from collec.	Volumes	.003	15.0	.045
Total Weighted Times				2.437
Reader Services Standards - Based on FTE Users				
Guidance to reader	Referrals	4.335	1.0	4.335
Advice to reader	Referrals	1.508	11.2	16.890
Receipt of faculty reserve requests	Titles	.655	20.0	13.100
Assembly & Reprod.of mat.	Items reprod.	.668	10.0	6.680
Removal from reserve collection	Titles	.938	4.0	3.752
Reference questions	Questions	10.445	10.0	104.450
Interlibrary borrowed	No.borrowed	.380	42.0	15.96
Total Weighted Time				165.167
Reader Services Standards - Based on Head Count				
Charge-outs of materials	Volumes	22.184	2.0	44.368
Return of materials	Volumes rec	36.428	4.2	152.997
Preparation of overdue notices	Overdues	1.410	7.2	10.152
Total Weighted Time				207.517
Reader Services Standards - Based on Faculty & Staff				
Abstract prepared	Abstracts	.050	15.0	.750
Bibliographies prepared	Bibliographie	.222	450.0	99.900
Interlibrary loans	No. loaned	3.342	22.0	73.524
Total Weighted Time				174.174

Reader Services Standards - Based on Teaching Students

.06FTE Librarians per 600 Freshmen

	Standard Percent*
Administration Standards - Based on Percent of Technical Service & Reader Service Times	
Interlibrary cooperation	.41
Professional meetings	.34
Committee assignments	.18
Personnel administration: recruitment, training	1.45
Budget administration	.72
Reporting and statistics	.41
Public relations	.41
Mail Control	1.63
Computer services and applications	.59
Planning and Management	3.78
Other administration	.08
Total percent times to administration	10.00%

*Percent of total library staff

College or University Center_____ Month of_____19___

FUNCTIONS	UNIT OF MEASURE	OUTPUT		MAN-HOURS	
		Monthly	Cumulative	Monthly	Cumulative
I. TECHNICAL SERVICES					
A. Acquisitions					
1. Selecting monographs & sets	titles				
2. Selecting serials	titles				
3. Searching holdings	searches				
4. Searching bibliographic tools	searches				
5. Searching L.C. catalogs, etc.	searches				
6. Preparing purchase orders	orders				
7. Receiving new serial subscriptions	titles				
8. Receiving books & other cat. mat.	volumes				
9. Accounting for books	vouchers				
10. Claiming books not received	claims				
11. Cancelling book orders	separate vols.				
12. Processing books & other material	volumes				
13. Withdrawing volumes from collection	volumes				
14. Other activities - man-hours only	N.A.	XXXXX	XXXXX		
15. Supervision - man-hours only	N.A.	XXXXX	XXXXX		

SUNY LIBRARY MONTHLY OPERATING REPORT

College or University Center_____ Month of_____19___

FUNCTIONS	UNIT OF MEASURE	OUTPUT		MAN-HOURS	
		Monthly	Cumulative	Monthly	Cumulative
I. TECHNICAL SERVICES (CONT'D)					
B. Serials and Document Control					
1. Procuring serials	volumes				
2. Identifying serials	titles				
3. Claiming serials not received	claims				
4. Procuring documents	issues rec'd				
5. Establishing document entries	titles				
6. Other activities - man-hours only	N.A.	XXXXX	XXXXX		
7. Supervision - man-hours only	N.A.	XXXXX	XXXXX		
C. Cataloging and Classification					
1. Cat. & Class. monographs-LC cards	titles				
2. Cat. & Class. monographs-original	titles				
3. Cataloging & Classifying serials	titles				
4. Typing cards	cards				
5. Typing add-ons	add-ons				
6. Typing cross references	cross ref'nces				
7. Revising cards	titles				

College or University Center_____ Month of_____19___

FUNCTIONS	UNIT OF MEASURE	OUTPUT		MAN-HOURS	
		Monthly	Cumulative	Monthly	Cumulative
I. TECHNICAL SERVICES (CONT'D)					
C. Cataloging and Classification (Cont'd)					
8. Reproducing cards	cards				
9. Filing cards	cards				
10. Updating catalog cards	volumes				
11. Recataloging & reclassifying	titles				
12. Binding	volumes				
13. Other activities - man-hours only	N.A.	XXXXX	XXXXX		
14. Supervision - man-hours only	N.A.	XXXXX	XXXXX		
D. Other Technical Services					
1. Operating copying machines					
2. Warehousing & storage					
3. Inventory					
4. Maintaining file services					
5. Other activities - man-hours only					
6. Supervision - man-hours only					

SUNY LIBRARY MONTHLY OPERATING REPORT

College or University Center_____ Month of_____19__

OPERATIONS	UNIT OF MEASURE	OUTPUT		MAN-HOURS	
		Monthly	Cumulative	Monthly	Cumulative
II. READER SERVICES					
A. Circulation					
1. Locational guidance to readers	referrals				
2. Advising readers	referrals				
3. Charging books & other materials	volumes				
4. Receiving returned materials	volumes ret'd				
5. Preparing overdue notices	overdues				
6. Receiving & assembling faculty reserve requests	titles				
7. Preparing res. mats. for reproduction	items reprod.				
8. Removing materials from reserve	titles				
9. Other activities - man-hours only	N.A.	XXXXX	XXXXX		
10. Supervision - man-hours only	N.A.	XXXXX	XXXXX		
B. Reference					
1. Answering reference questions	questions				
2. Preparing abstracts	abstracts				
3. Preparing bibliographies	bibliographies				
4. Other activities - man-hours only	N.A.	XXXXX	XXXXX		
5. Supervision - man-hours only	N.A.	XXXXX	XXXXX		

SUNY LIBRARY MONTHLY OPERATING REPORT

College or University Center _____ Month of _____ 19___

FUNCTIONS	UNIT OF MEASURE	OUTPUT		MAN-HOURS	
		Monthly	Cumulative	Monthly	Cumulative
C. Other Reader Services					
1. Interlibrary loans	volumes loaned				
2. Interlibrary loans	vols. borrowed				
3. Formal instruction-man-hours only	N.A.	XXXXX	XXXXX		
4. Other activities - man-hours only	N.A.	XXXXX	XXXXX		
5. Supervision - man-hours only	N.A.	XXXXX	XXXXX		
III. GENERAL LIBRARY ADMINISTRATION					
A. Planning & Management	N.A.	XXXXX	XXXXX		
B. Training	N.A.	XXXXX	XXXXX		
C. Stenographic & Clerical Services	N.A.	XXXXX	XXXXX		
IV. TOTAL MAN-HOURS - ALL FUNCTIONS	N.A.	XXXXX	XXXXX		

SUNY LIBRARY MONTHLY OPERATING REPORT

College or University Center_____ Month of_____19___

	MAN-HOURS	
	Monthly	Cumulative
V. MAN-HOUR ANALYSIS		
A. Total man-hours - All functions (item IV)		
B. Man-hours budgeted		
C. Temporary & part-time man-hours		
D. Overtime		
E. Total (B & C & D)		
F. Vacancies		
G. Leave, holidays & vacations		
H. Total non-productive time (F & G)		
I. Total productive time (E-H) (I must equal A)		

APPENDIX F

Definition of Basic Library Characteristics

Holdings:	Catalogued volumes on hand 3/31 + total backlog and periodicals + tapes, + microtext units + phonograph records + other
Acquisitions:	Volumes cataloged + increase in periodicals over prior year + 3/4 new backlog
FTE Users:	Average FTE Students + FTE Extension Users + FTE Faculty
Headcount:	Average full time + average part time enrollment
Faculty/Staff:	FTE Annualized instructional positions + FTE Annualized professional positions.
Freshmen:	60% of lower division FTE students.

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